

SBIR CAP User Guide User Guide

February 11, 2020

CONTACT US

Document Comments:

We value your feedback on this document.

How are we doing? The Communications & Documentation Team of the electronic Research Administration (eRA) is dedicated to serving our community and welcomes your feedback to assist us in improving our user guides. Please send comments about the user guide to this address: eRACommunications@mail.nih.gov.

Troubleshooting support:

Please contact the eRA Service Desk:

Toll-free: 1-866-504-9552

Phone: 301-402-7469

TTY: 301-451-5939

Web: <https://grants.nih.gov/support> (Preferred method of contact)

Email: commons@od.nih.gov (for Commons Support)

Email: helpdesk@od.nih.gov (for IMPAC II Support)

Hours: Mon-Fri, 7:00 a.m. to 8:00 p.m. Eastern Time

Disclaimer STATEMENT:

No data shown in illustrations represents any real account, project, or individual. Any resemblance to actual accounts, projects, or individuals is purely coincidental.

DOCUMENT HISTORY

Date	System Version	Doc. Version	Description of Change	Author
1/24/13	1.0	1.0.0	Initial release of the document	eRA Communications

Document History

The most current version of this document will be available on the eRA website:
<https://era.nih.gov/help-tutorials/sbir-cap>.

IMPORTANT: Did you know that this information is also available as online help? To access the ASSIST online help select any of the question marks found on ASSIST screens or enter the following URL in your browser: https://era.nih.gov/eraHelp/SBIR_CAP/.

TABLE OF CONTENTS

2 Introduction to the SBIR CAP Module.....	4
3 Register for SBIR CAP and Obtain Initial Accounts	5
3.1 Initial Registration.....	5
4 Add an SBIR CAP User Role	6
5 Access SBIR CAP	9
6 The CAP Projects Page	10
6.1 View, Edit, and Submit a Tracking Form	10
6.2 Tracking Forms	10
6.2.1 Tracking Form Header	11
6.2.2 Section 1: Road-to-the-Deal-Activities	12
6.2.3 Section 2: Funding: Financing, Bank loans or Other / Alternative Financing	13
6.2.4 Section 3 - Revenue.....	14
6.2.5 Section 4 - Other Success Indicators (Employees, Acquisitions).....	15

LIST OF FIGURES

Figure 1: eRA Commons Menu path to Account Management	6
Figure 2: Manage Accounts, Search Accounts page	7
Figure 3: Add Roles field	8
Figure 4: The Welcome to eRA Commons page	9
Figure 5: The CAPS Projects page	9
Figure 6: CAP Projects page.....	10
Figure 7: Closeup of Tracking Forms' View, Edit and Initiate buttons	10
Figure 8: Tracking Form, Header Section	11
Figure 9: Tracking Form, Section 1 - Road-to-the-Deal-Activities	12
Figure 10: Tracking Form, Section 2 - Funding	13
Figure 11: Tracking Form, Section 3 - Revenue	14
Figure 12: Tracking Form, Section 4 - Other Success Indicators	16

LIST OF TABLES

2 Introduction to the SBIR CAP Module

The [Small Business Innovation Research \(SBIR\) Commercialization Accelerator Program \(CAP\)](#) provides selected company participants with customized technical assistance over 9 months towards accomplishing key commercialization goals of the small business. The SBIR CAP module is designed for small business funding awardees (grantees, contractors) to report to NIH on the outcomes of their participation in the Small Business Innovation Research (SBIR) Commercialization Accelerator Program (CAP).

Through the SBIR CAP module, awardees submit information to NIH on any partnerships, outside funding, revenue sources and amounts, other indicators of success such as acquisitions or employees, and more. NIH requests baseline information (at 0 months); followed by a similar follow-up information request 9 months later (Interval 1), then a final information request at 18 months (Interval 2). This information is submitted as requested by NIH and allows NIH to assess the progress of the CAP program.

3 Register for SBIR CAP and Obtain Initial Accounts

Each CAP participant company is required to register in eRA Commons in order to access the SBIR CAP tab within eRA Commons. If your organization is already registered in eRA Commons, go to the [Add an SBIR CAP User Role](#) page.

NOTE: Only individuals with legal signing authority at the small business (e.g., CEO), known as signing officials (SOs), can register their organizations.

3.1 Initial Registration

1. In your browser, go to the [Register Grantee Organization](#) link on the eRA Commons home page.
2. Follow the instructions to register your organization.

NOTE: For more information on registering an organization, read the [Registering Institutions and Organizations](#) help page or watch the training video [How to Register an institution in eRA Commons](#).

Once your organization is added to eRA Commons, you are given a signing official (SO) user account. The SO user can then add more SO or account administrator (AA) accounts as needed. You cannot assign SO or AA roles to scientific accounts (such as a principal investigator).

IMPORTANT: NIH recommends that each organization always maintain two or more active SO accounts. Should the SO user leave without a backup, the organization will have to re-register as new in eRA Commons. For more information on the SO and AA user roles, refer to the [eRA Account Roles](#) help page.

4 Add an SBIR CAP User Role

An SBIR CAP user role is needed to access the SBIR CAP module.

1. Log in to the [eRA Commons module](#) with an SO or AA user ID.
2. On the main eRA Commons page, click **Admin > Accounts > Account Management**.



Figure 1: eRA Commons Menu path to Account Management

The *Manage Accounts*, *Search Accounts* page displays.

AMS

Manage Accounts AMS User Reports

Search Accounts ?

Search Criteria

☐ Search only within my organization ?

NOTE! You must enter at least one search field, besides User Type and Account Status.

User Type	Account Status	User ID
Commons ▼	All ▼	
Last Name	First Name	Middle Name
Email	Roles ?	

Search Clear

Figure 2: Manage Accounts, Search Accounts page

3. Search for the user name (and create if necessary).

NOTE: For detailed instructions on searching and creating user accounts, see [the Create a Commons account for an individual help page](#).

4. Select the user, and then click the **Add Roles** button and select the **SBIR CAP** role from the list of **Roles** options.

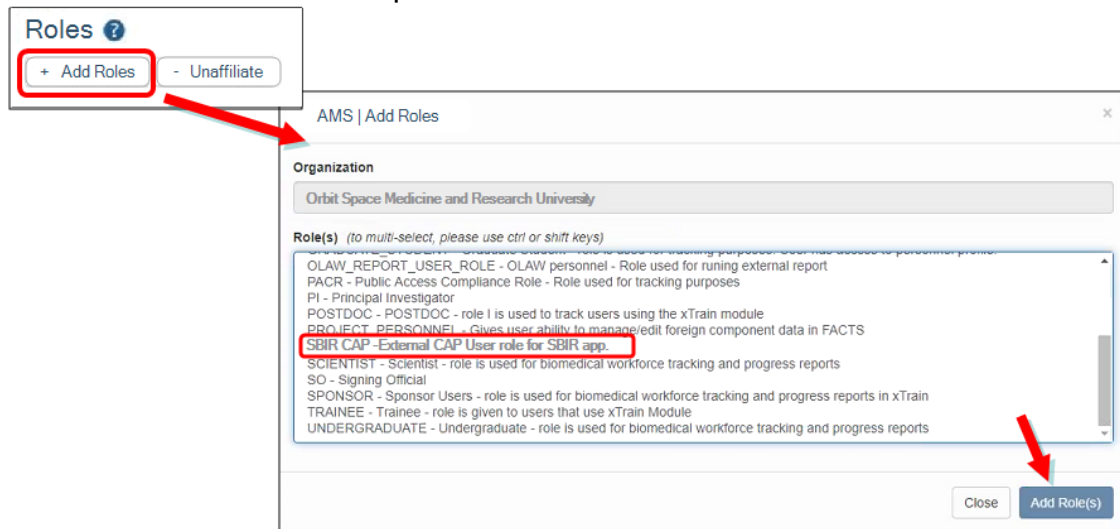


Figure 3: Add Roles field

5. Click the **Add Roles** button to add the role to the selected user account.

5 Access SBIR CAP

To access SBIR CAP, log in to [eRA Commons](#), and then select the **SBIR CAP** tab from the menu structure.

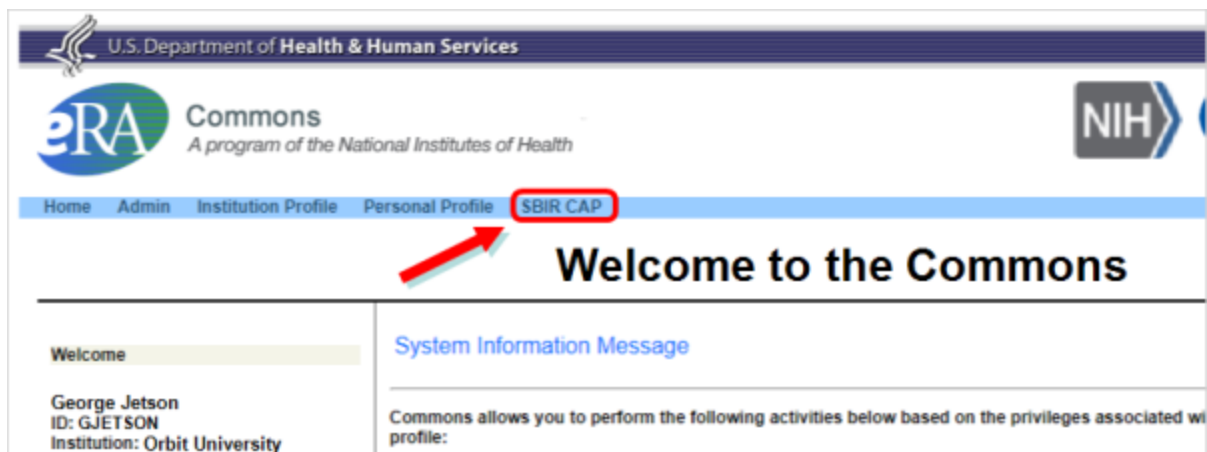


Figure 4: The Welcome to eRA Commons page

The CAP Projects page displays.

CAP Projects

Filter:

Showing 1 - 2 of total 2

Show 10 per page 1

Cohort	Project Number	Project Title	Primary Contact	Company Name	Fiscal Year	Grantor Organization	Award Amount	Baseline Tracking Form	Interval 1 Tracking Form	Interval 2 Tracking Form
2017 - 2018	5R44CA00000001-02	Assay for Early Diagnosis of Lycanthropic Syndrome in Unvaccinated Populations	Specely, Corne	COGSWELL COGS	2017	NIA	\$896,500.00	View	View	View
2017 - 2018	5R44CA00000002-02	Assay for Early Diagnosis of Lycanthropic Syndrome in Unvaccinated Populations	Specely, Corne	COGSWELL COGS	2017	AG	\$896,500.00	View	Edit	Initiate

Figure 5: The CAPS Projects page

6 The CAP Projects Page

The *CAP Projects* screen is the first screen SBIR CAP users see after logging into eRA Commons and clicking the **SBIR CAP** tab. It lists all submitted and pending tracking forms, as well as any tracking forms still awaiting initiation. Each project is listed in its own row, and each row lists individual tracking forms in columns by interval (i.e., Baseline, Interval 1, and Interval 2).

CAP Projects ⓘ

Filter:

Showing 1 - 2 of total 2

Show 10 per page < 1 >

Cohort	Project Number	Project Title	Primary Contact	Company Name	Fiscal Year	Grantor Organization	Award Amount	Baseline Tracking Form	Interval 1 Tracking Form	Interval 2 Tracking Form
2017 - 2018	5R44CA000000001-02	Assay for Early Diagnosis of Lycanthropic Syndrome in Unvaccinated Populations	Spacely, Cosmo	COGSWELL COGS	2017	NIA	\$896,500.00	View	View	View
2017 - 2018	5R44CA000000002-02	Assay for Early Diagnosis of Lycanthropic Syndrome in Unvaccinated Populations	Spacely, Cosmo	COGSWELL COGS	2017	AG	\$896,500.00	View	Edit	Initiate

Figure 6: CAP Projects page

6.1 View, Edit, and Submit a Tracking Form

The **Baseline** and **Interval** columns may contain three different button types:



Figure 7: Closeup of Tracking Forms' **View**, **Edit** and **Initiate** buttons

View allows you to view (but not edit) submitted forms

Edit allows you to edit forms that have been initiated and not yet submitted

Initiate opens a form and initiates it; the button then changes to **Edit**.

6.2 Tracking Forms

Each tracking form has a *Header* at the top that lists basic project information, followed by four sections: *Section 1 - Road-to-the-Deal Activities*, *Section 2 - Funding*, *Section 3 -Revenue*, and *Section 4 - Other Success indicators (Employees, Acquisitions)*.

6.2.1 Tracking Form Header

The tracking form *Header* lists details about the CAP organization and project and contains important notes and statements.

COGSWELL COGS, LLC

NIH-Commercialization Accelerator Program (CAP)
Commercialization Transition Track (CTT)
Cohort: 2017 - 2018
Commercialization Progress Tracking Form
Tracking Period: April 2019 to December 2019
Project Name: 5R44CA000001-02 - Assay for
Lycanthropic Syndrome in Unvaccinated Populations

OMB #0900-00002
OMB Approval Date: 09/30/2015

Please Submit by January 15, 2020

Tracking Form

Company Name:

CAP SBIR/STTR Grant or Contract #:

Name of Individual Completing Form:

Position:

E-Mail:

Telephone:

Buttons: Cancel & Return to Dashboard, Save, Submit, Return to Dashboard

Callouts:

- Click **Cancel** to discard all changes, **Save** to save and return later, or click **Submit** if done
- These buttons only appear on forms that have not been submitted
- This button only appears on forms that have already been submitted
- Tracking forms cannot be modified after submission

Is the Technology supported by the above SBIR/STTR Grant or Contract still active with the company's commercialization efforts?
☐ Yes ☒ No

The tracking form is divided into four sections: (1) Road-to-the-Deal activities, (2) Funding, (3) Revenue, (4) and Other success indicators (employees, acquisitions). It not only provides you the opportunity to report your measurable achievements, but it also allows for your opinions regarding the impact CAP may have had on your progress.

Important: Note on Cap Impact

When assessing the CAP impact on partnership activities, funding, and revenue, please consider both the direct and indirect impacts of the program. For example, a direct impact would include introducing you to a potential partner and an indirect impact would include the tools and resources delivered by CAP that may have significantly contributed, or in your opinion, would significantly contribute to, the development of a partnership. Thus, "Major Impact" is defined as a result that is tangible (a "deal") or intangible (being better prepared and oriented toward a partnership) but the impact was less than "Major." It is understood that the impact was less than "Major." However, in either case your assessment as to whether you are "better off" after CAP than you were before you entered the program is what is being sought. "Less than Major Impact" is self-explanatory.

Important user notices

OMB Burden Statement

Public reporting burden for this collection of information is estimated to average 20 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: NIH, Project Clearance Branch, 6705 Rockledge Drive, MSC 7974, Bethesda, MD 20892-7974, ATTN: PRA (0925-0627). Do not return the completed form to this address.

Figure 8: Tracking Form, Header Section

6.2.2 Section 1: Road-to-the-Deal-Activities

The *Road-to-the-Deal-Activities* section contains questions regarding partnerships.

1. Road-to-the-Deal-Activities

a) Are you seeking partnerships?
☒ Yes ☐ No

b) What kind of partnerships are you considering? (Check one or more, as appropriate):

☐ Strategic Partner
 ☐ Technical Collaboration
 ☐ Distribution
 ☐ Other (Please Specify)

Total remaining allowed limit is 200 characters.

c) With regards to your CAP-related technology, please indicate your company's progress in terms of partnership activities. State the number of partnership-related activities in which your company has engaged between October 2017 and June 2018.

Activity	Number of road-to-the-deal activities in which your company has engaged during your participation in CAP	Describe Significant Outcomes
Contacts with Partners Count only contracts with whom you had a meaningful conversation with about your mutual interests	123 Numeric Only	C Contacts with Partners Count only contracts with whom you had a meaningful conversation with about your mutual interests Total remaining allowed limit is 878 characters.
Meetings with Partners Meetings can be face-to-face or by phone/web but should involve exploration of potential deals in some detail.	323 Numeric Only	C Meetings with Partners Meetings can be face-to-face or by phone/web but should involve exploration of potential deals in some detail. Total remaining allowed limit is 865 characters.
Confidential Disclosure Agreements signed CDA (NDA) agreements are generally a pre-requisite for any serious discussion with potential partners	456 Numeric Only	C Confidential Disclosure Agreements signed CDA (NDA) agreements are generally a pre-requisite for any serious discussion with potential partners Total remaining allowed limit is 855 characters.
Initial Proposals and Term Sheets These are proposals of key terms of the deal and serve as the basis for a final agreement.	753 Numeric Only	C Initial Proposals and Term Sheets These are proposals of key terms of the deal and serve as the basis for a final agreement. Total remaining allowed limit is 874 characters.
Negotiations with Partners At this stage, all parties are interested in the deal and you are exploring various give and take scenarios.	453 Numeric Only	C Negotiations with Partners At this stage, all parties are interested in the deal and you are exploring various give and take scenarios. Total remaining allowed limit is 863 characters.
Deals Signed legal documents committing partners to a process, timeframe and outcome. If appropriate to the "deal(s)", please indicate the dollar amount(s) involved.	453 Numeric Only	C Deals Signed legal documents committing partners to a process, timeframe and outcome. If appropriate to the "deal(s)", please indicate the dollar amount(s) involved. Total remaining allowed limit is 833 characters.

d) Please indicate the level of impact of the CAP on your partnership-related activities for the period October 2017 and June 2018. (Note: Please refer to the "Note on CAP Impact" guideline above.)

Major Impact

Comments:
D Comment

Total remaining allowed limit is 991 characters.

Figure 9: Tracking Form, Section 1 - Road-to-the-Deal-Activities

6.2.3 Section 2: Funding: Financing, Bank loans or Other / Alternative Financing

The *Funding: Financing, Bank loans or Other / Alternative Financing* section contains questions regarding financial support and activities.

2. Funding: Financing, Bank loans or Other/Alternative Financing

a) Are you seeking outside financing?
☒ Yes ☐ No

b) If yes, please check each of the following as appropriate to your situation:
☒ Investment ☒ Bank loan or Other/Alternative Financing
 (e.g. receivable financing; please specify):
 2 B Bank loan or Other/Alternative Financing
 Total remaining allowed limit is 955 characters.

c) Please indicate in the table below the total amount of funding received by your company including your CAP-related technology in the time period October 2017 and June 2018. Please only state numbers and not qualitative data.

Investor Party	Amount of Investments
Friends and Family	1234567899 Numeric Only
Angels High net worth individuals; always invest as individuals although may belong to angel organizations	2345678966 Numeric Only
Venture Capitalists(VCs) Institutional Investors	3214569874 Numeric Only
Strategic Investors Investors that are looking to achieve other goals in addition to financial returns; typically, this may include corporations seeking to fill or expand their product lines or corporate "venture arms."	4521789632 Numeric Only

d) Please indicate the level of impact of the CAP on funding received for the period October 2017 and June 2018. (Note: Please refer to the "Note on CAP Impact" guideline above.)
 Major Impact

Comments:
 2 D Comment Please indicate the level of impact of the CAP on funding rec
 Total remaining allowed limit is 927 characters.

e) Please indicate in the table below the total amount of Bank Loan/Other received by your company including your CAP-related technology in the time period October 2017 and June 2018. Please only state numbers and not qualitative data.

Bank Loan/Other	Amount of Financing
Bank Loan Financial Institution, include banks and credit unions	9638527419 Numeric Only
Other/Alternative Financing (e.g. receivable financing); please specify: 2 E Bank Loan Total remaining allowed limit is 159 characters.	3692581478 Numeric Only

f) Please indicate the level of impact of the CAP on "Bank Loan" or "Other/Alternative Financing" for the period October 2017 and June 2018. (Note: Please refer to the "Note on CAP Impact" guideline above.)
 Major Impact

Comments:
 2 F Comment Please indicate the level of impact of the CAP on "Bank Loan" or "Other/Alternative Financing" for the period October 2017 and June 2018. Comment
 Total remaining allowed limit is 841 characters.

Figure 10: Tracking Form, Section 2 - Funding

6.2.4 Section 3 - Revenue

The *Revenue* section of the tracking form contains questions about revenue sources and amounts.

3. Revenue

a) Indicate your company's Largest source of revenue in the past Interval (October 2017 and June 2018) (Choose one only)

R&D Grant/Contracts

b) What is the dollar range of your company's cumulative sales of products/services for the past Interval (October 2017 and June 2018)?

\$10,000,000 and above

9999999999

Numeric Only

c) Please indicate the level of impact of the CAP on your company's revenue for the period October 2017 and June 2018. (Note: Please refer to the "Note on CAP Impact" guideline above.)

Major Impact

Comments:

3 C Comments

Total remaining allowed limit is 988 characters.

Figure 11: Tracking Form, Section 3 - Revenue

6.2.5 Section 4 - Other Success Indicators (Employees, Acquisitions)

The *Other Success Indicators (Employees, Acquisitions)* section covers any business acquisitions, hiring activity, and employee numbers.

4. Other Success Indicators (Employees, Acquisitions)

a) Have the number of employees in your company increased during the last interval? ☒ Yes ☐ No

If yes, please specify the number of employees in the past interval, versus the current number of employees, titles/positions of the new employees in the table below. Count part-time employees as 1 (i.e. do not use fractional numbers to count part-time employees.)

	Employee Information	Titles/Position
Number of Employees in the past interval	<input type="text" value="1231"/> Numeric Only	<input type="text" value="Number of Employees in the past interval"/> Total remaining allowed limit is 960 characters.
Current Number of Employees	<input type="text" value="1231"/> Numeric Only	<input type="text" value="Current Number of Employees"/> Total remaining allowed limit is 973 characters.

b) If you had an increase in employment,

1) Was it due to obtaining additional SBIR funds? ☒ Yes ☐ No

2) Did CAP influence your ability to hire? ☒ Yes ☐ No

c) Has your company been acquired? ☒ Yes ☐ No

d) Are you currently in discussion regarding an acquisition? ☒ Yes ☐ No

If your answer to c) or d) is "Yes", NIH would like to continue tracking the progress of the SBIR-developed technology. Please provide the following information.

Acquisition Information	
Name of the Acquiring Company	<input type="text" value="4 C and D Name of the Acquiring Company"/> Total remaining allowed limit is 434 characters.
Change in Company name as a Result of the Acquisition	<input type="text" value="4 C and D Change of the Acquisition"/> Total remaining allowed limit is 136 characters.
Change in Company Contact Information as a Result of the Acquisition	<input type="text" value="4 C and D Change in Company Contact Information as a Result of the Acquisition"/> Total remaining allowed limit is 122 characters.
Additional Details	<input type="text" value="4 C and D Additional Details"/> Total remaining allowed limit is 972 characters.

The questions that follow change depending on your response to question "a"

The questions that follow may change depending on your responses to these questions

Tracking forms cannot be modified after submission

Click **Cancel** to discard all changes, **Save** to save and return later, or click **Submit** if done

Figure 12: Tracking Form, Section 4 - Other Success Indicators

Once you click **Submit**, confirmation emails are sent to NIH and to the submitter.

IMPORTANT: A tracking form cannot be changed after you click **Submit**. Contact the NIH Service Desk immediately to request changes to a submitted form.